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<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER <b>BHC 031067</b>
INTERNATIONAL APPLICATION NO. <b>PCT/EP2004/014871</b>		INTERNATIONAL FILING DATE <b>December 31, 2004 (12.31.2004)</b>
U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>10/586023</b>		PRIORITY DATE CLAIMED <b>January 14, 2004 (01.14.2004)</b>
TITLE OF INVENTION <b>Tricyclic Benzazepine Derivatives and Their Use</b>		
APPLICANT(S) FOR DO/EO/US <b>Elisabeth WOLTERING, et al.</b>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Items 11 to 20 below concern document(s) or information included: 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).		

10/16/2003

PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <div style="font-size: 2em; font-weight: bold; margin-top: 5px;">107588023</div>		INTERNATIONAL APPLICATION NO. <div style="font-weight: bold; margin-top: 5px;">PCT/EP2004/014871</div>		ATTORNEY'S DOCKET NUMBER <div style="font-weight: bold; margin-top: 5px;">BHC 031067</div>	
20. Other items or information: <div style="display: inline-block; vertical-align: top; margin-left: 10px;">           1) Certificate of Mailing under 37 C.F.R. 1.10            2) Copy of the International Search Report            3) Itemized Return Receipt Postcard         </div>					
The following fees have been submitted				CALCULATIONS      PTO USE ONLY	
21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... \$300				\$ 300.00	
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c))				\$ 200.00	
If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 All other situations.....\$200					
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....\$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB.....\$400 All other situations.....\$500				\$ 400.00	
<b>TOTAL OF 21, 22 and 23 =</b>				\$900.00	
<input checked="" type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
128 - 100 =	28 /50 =	1	x \$250	\$ 250.00	
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	10 - 20 =		x \$ 50	\$ 00.00	
Independent claims	7 - 3 =	4	x \$200	\$ 800.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			1 + \$360	\$ 360.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 2,310.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/3.					
<b>SUBTOTAL =</b>				\$ 2,310.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$ 2,310.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
<b>TOTAL FEES ENCLOSED =</b>				\$ 2,310.00	
				Amount to be refunded:	\$
				Amount to be charged	\$

10/586023

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JAP20 REC UPTC/PTO 14 JUL 2006

- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 13-3372 in the amount of \$ 2,310.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 13-3372. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO: **Customer No. 35969**

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William F. Gray  
SIGNATURE

William F. Gray  
NAME

31,018  
REGISTRATION NUMBER

Date of Deposit: July 14, 2006  
Express Mail Label Number: EQ 390 598 795 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Elisabeth WOLTERING, et al.

Serial No.: [to be assigned] National Stage Filing of PCT/EP2004/014871

Filed: herewith

For: Tricyclic Benzazepine Derivatives and Their Use

MAIL STOP PCT  
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CERTIFICATE OF MAILING UNDER 37 CFR 1.10

I hereby certify that the *attached* correspondence comprising:

- ☒ Transmittal Letter to the United States Designated/Elected Office (DO/EO/US)  
Concerning a Filing under 35 U.S.C. 371 [IN DUPLICATE]
- ☒ Application Data Sheet under 37 C.F.R. 1.76
- ☒ Preliminary Amendment
- ☐ Copy of oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4))
- ☒ English Translation of the Application (35 U.S.C. 371(c)(2))
- ☒ Copy of the International Application as filed (35 U.S.C. 371(c)(2))
- ☒ Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98 consisting of:
  - 1) Transmittal of Information Disclosure Statement under 37 C.F.R. 1.97(b)(2)
  - 2) Form(s) PTO/SB/08A-B [substitute for form 1449/PTO] (37 C.F.R. 1.98(a)(b))
  - 3) Copies of Cited References (37 C.F.R. 1.98(d))
- ☐ Other:
- ☒ Itemized Return Receipt Post Card

is, on the date shown below, being deposited with the United States Postal Service, in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EQ 390 598 795 US addressed to:

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

July 14, 2006  
Date

  
Signature of Person Certifying / Gil Cunha